



PTO/SB/21 (02-04)

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|---|----------------------|------------------------|--------------|
| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | Application Number | 10/619,693 | |
| | Filing Date | July 15, 2003 | |
| | First Named Inventor | Simpson | |
| | Art Unit | 3747 | |
| | Examiner Name | | |
| Total Number of Pages in This Submission | 5 | Attorney Docket Number | BW-DKT00047A |

| ENCLOSURES (Check all that apply) | | |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> After Allowance communication to Technology Center (TC) |
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| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information |
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| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> CD, Number of CD(s) _____ | |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application | Remarks | |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | |
| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | | |
| Firm or Individual name | Brown & Michaels, PC | |
| Signature | | |
| Date | 3/3/2004 | |

| CERTIFICATE OF TRANSMISSION/MAILING | | |
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| I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. | | |
| Typed or printed name | Judy H. Barron | |
| Signature | | Date 3/3/04 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

THE COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

In re the application of: Simpson
For: VCT PHASER HAVING AN ELECTROMAGNETIC LOCK SYSTEM FOR
SHIFT AND LOCK OPERATION
Filed: July 15, 2003
Application No.: 10/619,693
Art Unit: 3747
Attorney Docket No.: BW-DKT00047A

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

List of Sections Forming Part of This Information Disclosure Statement

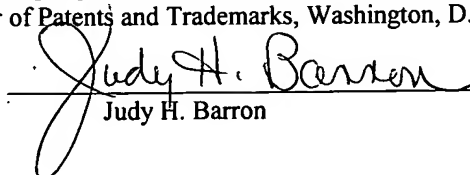
The following sections are being submitted for this information Disclosure Statement

1. ☒ Preliminary Statements
2. ☒ FORM PTO - 1449 (Modified)
3. ☐ Statement As To Information Material To Examination Not Found in Patents or Publications
4. ☐ Identification of Prior Application In Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted.
5. ☐ Cumulative patents or Publications
6. ☒ Copies of Listed Information Items Accompanying This Statement
7. ☐ Concise Explanation of Non-English Language Listed Information Items.
8. ☐ Translation(s) of Non-English Language Documents
9. ☐ Certification under MPEP 609(e)
10. ☒ Identification of Person(s) Making This Information Disclosure Statement

CERTIFICATE OF MAILING

[X] Certified Mail No: 7003 0500 0002 3235 1766 Date: 3-3-04

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Judy H. Barron

Section 1. Preliminary statements

Applicant submits herewith patents, publications or other information of which he is aware, which he believes may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.56(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

Section 2. Form PTO - 1449 (Modified) (SEE ATTACHMENT)

*EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through citation if not in conformance or not considered. Include a copy of this form with the next communication to applicant.

Section 3. Statement As To Information Material For Examination Not Found in Patents or Publications (Information not listed in PTO 1449)

Section 4. Identification of Prior Application in Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted

Section 5. Cumulative Patents or Publications

☐ Item(s)

are cumulative of the following patents or publication listed on Form PTO 1449 (modified):

In accordance with 37 CFR 1.98(c) a copy of _____ is being submitted with this information disclosure statement.

Section 6. Copies of Listed Information Items Accompanying This Statement

Legible copies of all items listed accompany this information statement.

☐ Exception(s) to above:

☐ Items in prior application from which an earlier filing date is claimed for this application as identified in Section 4.

☐ Cumulative patents or publications identified in Section 5.

Section 7. Concise Explanation of Non-English Language Listed Information Items

Section 8. Translation(s) of Non-English Language Documents

☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:

☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.

☐ The following foreign language documents submitted are believed to be the equivalent or



substantial equivalent of the English language documents identified below, which are also submitted herewith.

Section 9. Certification under Rule 1.97

[X] The undersigned hereby certifies that:

a. This Statement is being filed after the latest of (1) three months after the filing date of a national application; (2) three months after the date of entry of the national stage as set forth in w 1.491 in an international application; (3) the mailing date of a first Office action on the merits.

b. The fee set forth in §1.17(p)

☐ Is being paid with this Information Disclosure Statement

[X] Is not due because:

[X] (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, or

☐ (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the statement.

Section 10. IDENTIFICATION OF PERSON(S) MAKING THIS INFORMATION DISCLOSURE STATEMENT

The person making this statement is

(a) ☐ the inventor(s) who signs below

(b) [X] the attorney who signs below on the basis of:

☐ the information supplied by the inventor(s)

☐ an individual associated with the filing and prosecution of this application (37 CFR 1.56(c)).

[X] the information in the attorney's file

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3/3/2004
Date:



Section 8. Form PTO - 1449 (Modified) (ATTACHMENT)

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|--|---------------------------------|--------------------------|
| FORM PTO-1449 U.S. DEPT. OF COMMERCE (Modified) PATENT AND TRADEMARK OFFICE | ATTY DOCKET NO. BW-DKT00047A | SERIAL NO. 10/619,693 |
| | APPLICANT Simpson et al | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | FILING DATE 07/15/2003 | GROUP 3747 |

U.S. PATENT DOCUMENTS

| Exam Initial | | DOCUMENT NUMBER | DATE | PATENTEE | CLASS | SUB | FILING DATE IF APPROPR |
|-----------------|----|--------------------|------------|----------------|-------|-------|---------------------------|
| | AZ | 5,785,018 | 07/28/98 | Schebitz, M. | 123 | 90.17 | |
| | BA | 6,053,138 | 04/25/2000 | Trzmiel et al. | 123 | 90.17 | |
| | BB | 6,382,155 | 05/07/2002 | Simpson, R. | 123 | 90.17 | |
| | BC | 20010006050 | 07/05/2001 | Heer, S. | 123 | 90.17 | |

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

| Exam Initial | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB | TRANSLATION YES NO |
|-----------------|----|--------------------|------------|---------|-----------|-----|------------------------------|
| | BD | EP 1 114 917 A | 07/11/2001 | Europe | F01L 1/34 | | Abstract - US 20010006050 |
| | BE | DE 40 07 181 A1 | 09/12/1991 | Germany | F01L 1/34 | | Abstract - EP0518898 |
| | | | | | | | |

OTHER PRIOR ART

| Exam Initial | | Author, Title, Date, Pertinent Pages, Etc |
|-----------------|--|---|
| | | |
| EXAMINER | | DATE CONSIDERED |
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| | | |